

**DOCKET NO.: POPT-0004**



**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In Re Application of:**

**Ernest H. Zerenner, Gilbert A. Segal, and**

**Gregory James Zerenner**

**Confirmation No.: 1828**

**Application No.: 09/676,374**

**Group Art Unit: 3624**

**Filing Date: September 29, 2000**

**Examiner: Daniel S. Felten**

**For: SYSTEM AND METHOD FOR ANALYZING AND SEARCHING  
FINANCIAL INSTRUMENT DATA**

**EXPRESS MAIL LABEL NO: EV 631241060 US  
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Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 CFR § 1.56 and in accordance with 37 CFR §§ 1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 CFR § 1.56(b).

- ☒ In accordance with § 1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in § 1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or

before the mailing date of a first Office Action after the filing of request for continued examination under § 1.114, no additional fee is required.

- ☐ In accordance with § 1.97(c), this Information Disclosure Statement is being filed after the period set forth in § 1.97(b) above but before the mailing date of either a Final Action under § 1.116 or a Notice of Allowance under § 1.311, or before an action that otherwise closes prosecution in the application, therefore:

- ☐ Certification in Accordance with § 1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in § 1.17(p) is attached.

- ☐ In accordance with § 1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under § 1.113 or a Notice of Allowance under § 1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with § 1.97(e); and the submission fee of \$180.00 as set forth in § 1.17(p).

- ☐ Copies of reference numbers listed on the attached Form PTO-1449 are enclosed herewith.


- ☒ Copies of reference numbers **34 thru 41** on the attached Form PTO 1449 are not required to be submitted pursuant to 37 CFR § 1.98(a)(2)(i).

- ☐ Copies of references - are not being submitted because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application number , filed for which a claim for priority under 35 U.S.C. § 120 has been made in the instant application.

There are no listed references which are not in the English language.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050. This form is submitted in duplicate.

Date: 2/22/06

  
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<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office	Docket No. <b>POPT-0004</b>	Application No. <b>09/676,374</b>
	Applicant <b>Ernest H. Zerenner, Gilbert A. Segal, and Gregory James Zerenner</b>	
	Filing Date <b>September 29, 2000</b>	Group <b>3624</b>
	Confirmation No. <b>1828</b>	

**U. S. PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Name	Class	Subclass
	34	5,784,696	07/21/98	Melnikoff	705	36
	35	5,918,217	06/29/99	Maggioncalda, et al.	705	36
	36	5,978,778	11/02/99	O'Shaughnessy	705	36
	37	6,012,042	01/04/00	Black, et al.	705	36
	38	6,021,397	02/01/00	Jones, et al.	705	36
	39	6,049,783	04/11/00	Seagel, et al.	705	37
	40	6,317,726 B1	11/13/01	O'Shaughnessy	705	36
	41	6,321,212 B1	11/20/01	Lange	705	37

**FOREIGN PATENT DOCUMENTS**

Examiner Initial		Document No.	Date	Country	Translation	
					YES	NO

<b>EXAMINER</b>	<b>DATE CONSIDERED</b>
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